



07-03-03

GP1655

Express Mail No.: EL 451 599 496 US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Gelfand *et al.*

Application No.: 10/052,417

Group Art Unit: 1655

Filed: January 17, 2002

Examiner: Souaya, J.

For: THERMOSTABLE DNA  
POLYMERASES INCORPORATING  
NUCLEOSIDE TRIPHOSPHATES  
LABELED WITH FLUORESCCEIN  
FAMILY DYES

Attorney Docket No.: 1803-329-999

TECH CENTER 1600/2900

FEB 04 2003

RECEIVED

COMMUNICATION

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please make the attached copies of an Assignment and Notice of Recordation of Assignment Document of record in the above-captioned application. The instant application is a continuation of the application to which the Assignment applies; accordingly, the Assignment is effective to assign the instant application as well.

No fee is believed due in connection with this submission, but the Commissioner is authorized to charge any required fee to Pennie & Edmonds LLP deposit account 16-1150 (order no. 1803-329-999).

Respectfully submitted,

Date: January 30, 2003

42,983

Rahul Pathak

(Reg. No.)

For: Nikolaos C. George (Reg. No. 39,201)

**PENNIE & EDMONDS LLP**

3300 Hillview Avenue

Palo Alto, CA 94304-1203

(650) 493-4935



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
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Washington, D.C. 20231

MARCH 03, 1998

PTAS

HOFFMANN-LA ROCHE INC.  
GEORGE W. JOHNSTON  
PATENT LAW DEPARTMENT  
340 KINGSLAND STREET  
NUTLEY, NJ 07110



\*100614112A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/18/1997

REEL/FRAME: 8901/8619  
NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GELFAND, DAVID H. ✓

DOC DATE: 09/11/1997 ✓

ASSIGNOR:

REICHERT, FRED L. ✓

DOC DATE: 09/11/1997 ✓

ASSIGNOR:

MYERS, THOMAS W. ✓

DOC DATE: 10/09/1997 ✓

ASSIGNOR:

KALMAN, LISA V. ✓

DOC DATE: 09/11/1997 ✓

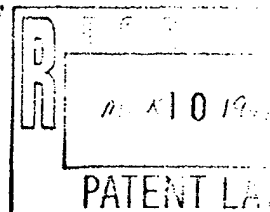
ASSIGNOR:

SIGUA, CHRISTOPHER L. ✓

DOC DATE: 09/11/1997 ✓

ASSIGNEE:

ROCHE MOLECULAR SYSTEMS, INC. ✓  
1080 U.S. HIGHWAY 202  
BRANCHBURG, NEW JERSEY 08876



8901/0619 PAGE 2

SERIAL NUMBER: 60058525 /  
PATENT NUMBER:

FILING DATE: 09/11/1997 -  
ISSUE DATE:

MAYA BENNETT, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

01-27-1998



100614112

Case Docket No. 1044P

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- 1) DAVID H. GELFAND
- 2) FRED L. REICHERT
- 3) THOMAS W. MYERS
- 4) LISA V. KALMAN
- 5) CHRISTOPHER L. SIGUA

2. Name and address of receiving party(ies):

Name: ROCHE MOLECULAR SYSTEMS, INC.

Internal Address: \_\_\_\_\_

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Street Address: 1080 U.S. HIGHWAY 202

City: BRANCHBURG State: NJ Zip: 08876

Execution Date: 1) 2) 4) & 5) SEPTEMBER 11, 1997  
3) OCTOBER 9, 1997

Additional name(s) & address(es) attached:  
☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

PROVISIONAL S/N: 60/058,525, Filed: SEPTEMBER 11, 1997

Additional numbers attached? ☐ Yes ☒ No

60058525  
01/26/1998 TTOM11 00000189 DAN:082525 40.00 CH  
01 FC:501

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: GEORGE W. JOHNSTON

Internal Address:

HOFFMANN-LA ROCHE INC.

PATENT LAW DEPARTMENT

Street address: 340 KINGSLAND STREET

City: NUTLEY State: NJ Zip: 07110

6. Total number of applications and patents involved: ONE

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Authorized to be charged to deposit account

☒ Authorized any deficiencies to be charged to deposit account

8. Deposit account number:

08-2525


DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

DENNIS P. TRAMALONI

Name of Person Signing

  
Signature

DECEMBER 16, 1997

Date

CONTACT: Miss Nell Danzi  
TELEPHONE: (973) 235-2447  
FAX: (973) 235-2363

Total number of pages including cover sheet, attachments and document: 9

ASSIGNMENT

WHEREAS, WE, David H. Gelfand, Lisa V. Kalman, Fred L Reichert, Thomas W. Myers and Christopher L. Sigua (Assignors) have invented certain new and useful improvements which are described and claimed in application for United States Patent and identified as Case Docket No. 1044P, entitled:

**THERMOSTABLE DNA POLYMERASES INCORPORATING NUCLEOSIDE  
TRIPHOSPHATES LABELED WITH FLUORESC EIN FAMILY DYES**

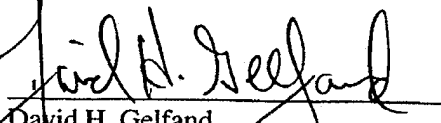
WHEREAS, ROCHE MOLECULAR SYSTEMS, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware, and having its principal place of business at Branchburg, New Jersey, is desirous of acquiring the entire interest in and to said invention, said application and the Patent to be obtained therefor;

NOW, THEREFORE, for and in consideration of One Dollar (\$1.00) and other good and valuable consideration to us in hand paid, the receipt and sufficiency whereof are hereby acknowledged, we have sold, assigned, and set over, and by these presents do hereby sell, assign, and set over unto the said ROCHE MOLECULAR SYSTEMS, INC. (Assignee), and said Assignee's legal representatives, successors, the entire right, title and interest, for the whole world, in and to said invention and said application, as well as any subsequent application which claims priority based upon the filing date of said application identified as Case Docket No. 1044P and the patents, both domestic and foreign, that may or shall result therefrom including the right to claim in respect of any subsequent United States and foreign patent applications and patents, the priority date of said application under any United States statute and international convention or treaty; and we do hereby authorize and request the issuance of said patents, domestic and foreign, conformably to the terms of this Agreement.

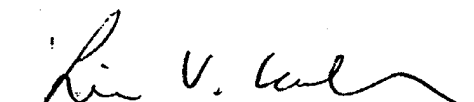
UPON SAID CONSIDERATION, we do hereby covenant and agree with the said Assignee that we will not execute any writing or do any act whatsoever conflicting with these presents, and that we will at any time upon request, without further or additional consideration, but at the expense of the said Assignee, execute such additional assignments and other writings and do such additional acts as said Assignee may deem necessary or desirable to perfect the Assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining provisional, original, continuation, continuation-in-part, divisional, reissued, re-examined or extended Patent of the United States or of any and all foreign countries on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, including but not limited to, giving testimony in any proceedings or transactions involving such applications or patents, and executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind and inure to the benefit of the assigns and legal representatives of all parties hereto.

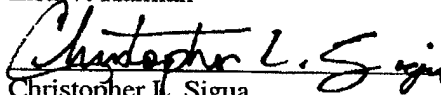
IN WITNESS WHEREOF, we have hereunto set our hands and affixed our seals this //day  
of Sept, 1997.

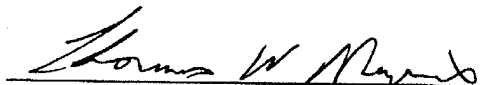
Alameda, California, U.S.A.

  
David H. Gelfand

  
Fred L. Reichert

  
Lisa V. Kalman

  
Christopher L. Sigua

  
Thomas W. Myers      October 9, 1997

ACKNOWLEDGMENT

United States of America)  
State of California    )  
County of Alameda    )

On                   , before me personally appeared

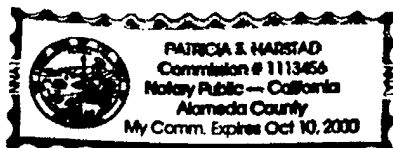
to me known to be the persons described in the foregoing Assignment, who acknowledged that they  
executed the foregoing Assignment of their own free will for the purposes therein set forth.

33216

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California  
 County of Alameda  
 On Sept 11, 1997 before me, Patricia S. Harstad - Notary Public  
 Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")  
 personally appeared David H. Gelfand  
 Name(s) of Signer(s)

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Patricia S. Harstad  
 Signature of Notary Public

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document .

Title or Type of Document: Assignment

Document Date: 9-11-97 Number of Pages: 2

Signer(s) Other Than Named Above: Thomas W. Myers, Lisa V. Kalman, Thomas W. Myers, Christopher L. Sigua

### Capacity(ies) Claimed by Signer(s)

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
 Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney-in-Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
 OF SIGNER  
 Top of thumb here

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
 Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney-in-Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
 OF SIGNER  
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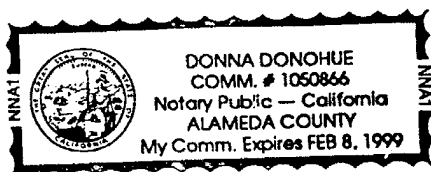
# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

No. 5907

State of California  
County of Alameda

On 10-9-97 before me, Donna Donohue, Notary  
DATE NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"  
personally appeared Thomas W. Mages  
NAME(S) OF SIGNER(S)

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Donna Donohue  
SIGNATURE OF NOTARY

## OPTIONAL

Though the data below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent reattachment of this form.

### CAPACITY CLAIMED BY SIGNER

- ☒ INDIVIDUAL  
☐ CORPORATE OFFICER

TITLE(S)

- ☐ PARTNER(S) ☐ LIMITED  
☐ GENERAL  
☐ ATTORNEY-IN-FACT  
☐ TRUSTEE(S)  
☐ GUARDIAN/CONSERVATOR  
☐ OTHER: \_\_\_\_\_

### SIGNER IS REPRESENTING:

NAME OF PERSON(S) OR ENTITY(IES)  
See list

### DESCRIPTION OF ATTACHED DOCUMENT

Assignment  
TITLE OR TYPE OF DOCUMENT

2 + acknowledgments  
NUMBER OF PAGES

Sept. 11, 1997  
DATE OF DOCUMENT

David Gelfand Fred Bochet  
Lisa Kalma Christopher Signes  
SIGNER(S) OTHER THAN NAMED ABOVE

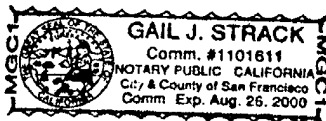
# ALL-PURPOSE ACKNOWLEDGMENT

State of California  
County of San Francisco

On September 11, 1997 before me, Gail J. Strack, Notary Public  
DATE NAME, TITLE OF OFFICER - E.G., "JANE DOE, NOTARY PUBLIC"

personally appeared Lisa Kalman

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



Witness my hand and official seal.

Gail J. Strack  
SIGNATURE OF NOTARY

## CAPACITY CLAIMED BY SIGNER

- ☒ INDIVIDUAL(S)  
☐ CORPORATE OFFICER(S) \_\_\_\_\_ TITLE(S) \_\_\_\_\_  
☐ PARTNER(S)  
☐ ATTORNEY-IN-FACT  
☐ TRUSTEE(S)  
☐ SUBSCRIBING WITNESS  
☐ GUARDIAN/CONSERVATOR  
☐ OTHER: \_\_\_\_\_

## SIGNER IS REPRESENTING:

NAME OF PERSON(S) OR ENTITY(IES)  
\_\_\_\_\_  
\_\_\_\_\_  
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ATTENTION NOTARY: Although the information requested below is OPTIONAL, it could prevent fraudulent attachment of this certificate to unauthorized document.

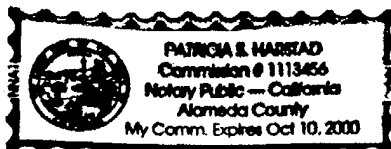
THIS CERTIFICATE  
MUST BE ATTACHED  
TO THE DOCUMENT  
DESCRIBED AT RIGHT:

Title or Type of Document assignment Christopher L. Sigua  
Number of Pages 2 Date of Document 9-11-97 R  
Signer(s) Other Than Named Above David Gelfand, Fred L. Reuchert, Thomas W. Myers

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California  
 County of Alameda  
 On Sept 11, 1997 before me, Patricia S. Hanstad - Notary Public  
 personally appeared Christopher L. Siqua  
Name(s) of Signer(s)

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies); and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Patricia S. Hanstad  
Signature of Notary Public

## OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

### Description of Attached Document

Title or Type of Document: Assignment

Document Date: 9-11-97 Number of Pages: 2

Signer(s) Other Than Named Above: Lisa J. Kalman Thomas Meyer  
David H. Gelfant, Fred H. Reedert

### Capacity(ies) Claimed by Signer(s)

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
 Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney-in-Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
 Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
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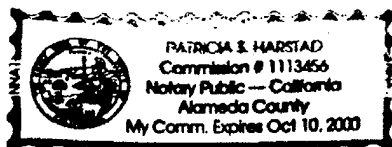
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State of California  
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 On Sept 11, 1997 before me, Patricia S. Harstad Notary Public  
 personally appeared Fred L. Reichert  
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WITNESS my hand and official seal.

Patricia S. Harstad  
Signature of Notary Public

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Signer(s) Other Than Named Above: David H. Gelfand, Thomas W. Myers, Lisa V. Kaiman, Christopher L. Sigua

### Capacity(ies) Claimed by Signer(s)

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
 Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney-in-Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing: \_\_\_\_\_

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